

M e m o r a n d u m

Date: September 4, 2007

To: Valley Division

From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Auburn Area


File No.: 220.10284.14884

Subject: CHAPTER 5 FORMAL INSPECTION RESULTS/ACTION ITEMS

In March of 2007, Valley Division personnel conducted an Area Management Evaluation, (Chapter 5 – Office Management). This audit contained several action items which have been addressed.

An annual process to purge filing systems has been implemented to take place as part of the year end process. A Public Records Act (PRA) binder to log has been created for the watch officer to maintain. Current policy has been copied and placed in the Petty Cash and X number logs. The Administrative Sergeant has read Highway Patrol Manual 11.1, Administrative Procedures Manual, Chapter 23 (Delegation of X Number Contract Authority) to familiarize himself with the X number process.

The last action item was to have a process to review the content of the Local Area Network (LAN) and purge electronic files. Our Administrative Sergeant has requested training for our new and in-experienced LAN coordinators. He was told that there was no training available. I would request that Valley Division advise me of available LAN Coordinator training so we can meet our obligations to proficiently maintain our LAN.



R. W. WARD, Captain
Commander

Safety, Service, and Security

Memorandum



C O N F I D E N T I A L

Date: May 31, 2007

To: Auburn Area

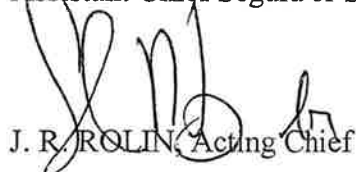
From: **DEPARTMENT OF CALIFORNIA HIGHWAY PATROL**
Valley Division

File No.: 201.9607.A09526.07-194

Subject: CHAPTER 5 FORMAL INSPECTION RESULTS/ACTION ITEMS

Attached are the results of the recent Chapter Inspection conducted on your command during the first quarter of 2007. Evaluators have provided several recommendations/action items for improvement. As these are all minor in nature, a Division suspense date of June 30, 2007, has been established. Area will be responsible to ensure the corrective actions are implemented and a report on status is generated to Division by the date indicated above.

If you have any questions on the contents of either report, please do not hesitate to contact Assistant Chief Segura or Staff Services Analyst Tina Rojo, at (916) 464-2090.


J. R. ROLIN, Acting Chief

Attachments

Department of California Highway Patrol
AREA MANAGEMENT EVALUATION
 Chapter 5
 OFFICE MANAGEMENT

Area
 Auburn

Division
 Valley

Number
 06-220

Evaluated By Tina Rojo and
 Assistant Chief Sal Segura

Date 3/09/07

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed in the Summary Statement. The Summary Statement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Summary can be handwritten if desired.

Type of Evaluation

☒ Formal ☐ Informal

Suspense Date 06/30/07

Follow-up Required
☒ Yes ☐ No

☒ Correction Report
 by 6/30/07

Commander's Review

Date

1. CLERICAL TASKS

Evaluated
☒

Action Required
☐

Corrected
☐

a. Is the office well-organized?

☒ Yes ☐ No

(1) Are there written job descriptions?

☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk?

☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them?

☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency?

☒ Yes ☐ No

(3) Are stenographers available for dictation? No regular dictation required

☐ Yes ☐ No

(a) Are supervisors or special duty officers trained to give dictation?

☐ Yes ☐ No

(4) If tape recorders are used, can clerical employees transcribe effectively?

☒ Yes ☐ No

(5) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?

☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective?

☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills?

☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?

☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager?

☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? One Office Assistant has been designated as back-up in the absence of the OSS I.

☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? OSS I provides assistance in studying for promotional exams.

☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? All employees have been cross-trained and are given the opportunity to act as a lead.

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION
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OFFICE MANAGEMENT

(c) Has the CHP 118A been used to identify particular strengths of the employees?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) If there is more than one OSS, is the work and supervision evenly distributed? n/a	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Does the OSS participate in Area staff meetings?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
2. FILING SYSTEM	Evaluated <input checked="" type="checkbox"/>	Action Required <input checked="" type="checkbox"/>
Corrected <input type="checkbox"/>		
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1? ACTION ITEM	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) How far back are accident reports being maintained?		
(2) Is there a filing backlog? A minimal backlog is due to shortage of staff.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Is there evidence of recent office review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? As new memos are filed, out dated memos are purged; approximately every two months.		
(5) Are Training and Information Bulletins filed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) If so, how are they located? Located in library. A File Guide is available to all employees that outlines all documents available in the library.		
(6) Do all clerical employees understand the filing system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(7) Does the Area have an effective suspense system? OSS I has developed a spreadsheet that effectively tracks items for suspense.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
c. Are personnel files properly secured and access limited?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed? ACTION ITEM	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) If so, how often? Every six months		
(3) Is annual employee review and updating conducted as required?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

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3. SECURITY OF CRIMINAL RECORDS

Evaluated
☒

Action Required
☐

Corrected
☐

a. Have employees who have access to criminal offender record information signed an acknowledgement stating they understand the regulations and policies pertaining to these records?

☒ Yes ☐ No

(1) Has the Area designated a specific person to release criminal offender record information? Area has two people designated

☒ Yes ☐ No

(a) Do any other persons release this information? Yes, the back-up to the Front desk officer

☒ Yes ☐ No

(b) Has the designated person completed the required training? Last CLETS training was February 2006

☒ Yes ☐ No

(c) Are safeguards in place to verify telephone inquiries prior to disclosure?

☒ Yes ☐ No

(2) Does each person designated to release information maintain a CHP 263B log? Area maintains a database with log of criminal history checks

☒ Yes ☐ No

(a) Are entries maintained for the prescribed period of time?

☒ Yes ☐ No

4. FISCAL PROCEDURES

Evaluated
☒

Action Required
☒

Corrected
☐

a. Have discrepancies on the most current audit reports been corrected?

☐ Yes ☐ No

(1) Are all change fund and collections handled and processed according to policy?

☒ Yes ☐ No

(a) Are counter receipts and issued to the field accounted for and safeguarded?

☒ Yes ☐ No

(b) Is there a separation of duties between cashier responsibilities and transmittal of collections?

☒ Yes ☐ No

(c) Are collections and change funds safeguarded?

☒ Yes ☐ No

(d) Are checks promptly endorsed and cash receipts reconciled daily?

☒ Yes ☐ No

(e) Are counter receipts and that are issued in sequence accounted for and returned to Accounting Section upon completion?

☒ Yes ☐ No

(f) What specific guidelines are in place for security control and accountability?

Duties have been separated for a "check and balance" system

(g) Is a supervisor responsible for review of the system?

☒ Yes ☐ No

(h) Do total collections agree with the total amount of counter receipts?

☒ Yes ☐ No

(i) Are counter receipts and transmittal records prepared properly?

☒ Yes ☐ No

(j) Are surprise counts of funds performed and documented by the commander or designee?

☐ Yes ☐ No

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(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy? ACTION ITEM	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$1,000?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are invoices and CHP 315Xs reviewed by a supervisor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. What controls does the commander have in place to ensure the timely transmittals of monies is being made? Regular audits are conducted and Commander has access to the database containing suspense dates for all items including transmittal submissions.		
(1) Are collections sent to Accounting Section at the first occurrence of \$200 (or \$500) in cash and \$5,000 total collections, or at the close of business each Thursday?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are monies received for asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(3) Are "no collection" transmittals sent when appropriate? N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Do tire sale transactions comply with policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
c. Is security of the postage machine adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the machine locked when not in use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is the meter reading documented as required?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Is there documentation of monies refunded or forwarded to Accounting Section when the postage machine is being repaired or replaced?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
5. REQUISITIONS	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>
a. Are requisitions prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who prepares them?		
(2) Has a practical stock level been established and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the quarterly requisition period for this command adhered to?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is there a high number of emergency requisitions?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Are inventory card files utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(5) Are the two required inventory listings (CHP and DGS) utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) Is the CHP 238D used to prepare the annual inventory listing for items from the CHP Supply Catalog?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the DGS Material Services computer printout used to prepare the annual inventory listing for items ordered from the Material Services Supply Catalog?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are inventory listings, including inventory control cards, kept for a period of four years or until audited by Accounting Section's Materials Management Unit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b. Are items stored properly in a storeroom?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is there convenient access for regularly used items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Have obsolete items been removed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
6. OTHER EQUIPMENT AND SUPPLIES	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>
a. Are all cameras assigned to the command accounted for?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Are camera cases clean and do they contain the required accessories?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is camera maintenance assigned to a particular individual?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(a) What is his/her preventative maintenance schedule?

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

(1) Is there adequate security for extender batteries and other supplies? ☒ Yes ☐ No

7. OFFICE EQUIPMENT

Evaluated
☒

Action Required
☒

Corrected
☐

a. Are office machines in good condition and properly maintained? ☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions? ☒ Yes ☐ No

(2) Is there a shortage or surplus of machines? ☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly? ☒ Yes ☐ No

(1) Who is authorized to use the equipment? OSS I and all clerical staff.

(2) How is training provided, and by whom? Training is provided annually by Dispatch employee.

(3) Is there a usage schedule for uniformed and nonuniformed personnel? ☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality? ☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours? ☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums? ☐ Yes ☐ No

(7) What system is used to ensure proper routing of MIS information?

c. Are personal computers used properly? ☒ Yes ☐ No

(1) Who is authorized to use the equipment? All desks inside the office have a PC assigned.

(2) How is training provided, and by whom? Currently, the LAN coordinator position is vacant.

(a) How many employees are trained in its use?

(3) Are there restrictions on the time its used? N/A ☐ Yes ☐ No

(a) Is there a schedule for uniformed and nonuniformed employees? N/A ☐ Yes ☐ No

(4) Is confidential or sensitive information being stored on a PC hard disk? ☒ Yes ☐ No

(a) If so, is the PC password protected? ☒ Yes ☐ No

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(b) Is confidential or sensitive information stored on floppy disks kept in a secure area? N/A				<input type="checkbox"/> Yes <input type="checkbox"/> No
(5) What is the PC being used for?				
(6) Are controls present to prevent inappropriate/personal use of the computer?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Are backup procedures being performed on a regular basis?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are backup disks stored in a secure area?				<input type="checkbox"/> Yes <input type="checkbox"/> No
(8) Are PC manuals and other documentation available to all users?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(9) What procedures are in place to ensure out-of-date documents and files are purged? All personnel are aware that they are responsible for purging their own files. ACTION ITEM				
(10) Are employees aware of the availability of assistance in resolving computer related problems?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(11) Is anti-virus software regularly utilized on all state-owned PCs?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
8. ATTITUDE OF NONUNIFORMED EMPLOYEES	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>	Corrected <input type="checkbox"/>	
a. Based on personal observation and discussion with staff, what is the attitude of nonuniformed personnel? Good attitude, work well together				
b. What are the personal appearances of the nonuniformed employees? Proper work attire was observed				
(1) Do employees interact well together?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. What is the attitude of the members of the office staff toward their job responsibilities? Auburn Area has a "teamwork" oriented staff.				
9. PUBLIC CONTACTS	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>	Corrected <input type="checkbox"/>	
a. Does the office have extended office hours?				<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(1) If so, are they adequate and effective?				<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Are persons waited on promptly and courteously?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are backup personnel immediately available?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is telephone service both efficient and effective?				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Are limited duty personnel used for receptionist duties and answering telephones?				<input type="checkbox"/> Yes <input type="checkbox"/> No

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(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☐ Yes ☐ No

10. SCHOOL BUS DRIVER EXAMINATIONS

Not Evaluated

Evaluated
☐

Action Required
☐

Corrected
☐

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?

(1) Are tests and test keys kept in a secure place?

☐ Yes ☐ No

(2) How are interested parties advised of testing procedures?

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☐ Yes ☐ No

(b) Does the officer take possession of the test and dispose of accordingly?

☐ Yes ☐ No

(3) How are tests disposed of?

(4) Is there a specific date and time set aside for testing?

☐ Yes ☐ No

11. COURT INFORMATION PROCEDURES

Evaluated
☒

Action Required
☐

Corrected
☐

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes ☐ No

(1) What controls are in place to ensure officers appear in court?

Court notices are cycled through clerical and the Sergeant of the affected officer.

(a) How are appearances minimized following cancellations?

A large calendar accessible by all employees is utilized by each officer before/after shift for court notice updates.

(b) How are "short notice" cancellations minimized? See above

(2) Are CHP 90s properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? The OSS I works with all shift Sergeants to manage notification and documentation processes.

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

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12. DEPARTMENTAL MANUALS	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>	Corrected <input type="checkbox"/>
a. Are the number of authorized libraries being maintained?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the libraries convenient for those who must use them?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) What controls are in place for "loaning" manuals to employees? N/A			
(2) Are publications distinctively marked so they can be readily identified?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are the number of libraries excessive or sufficient? One library is utilized and sufficient for area size			
(b) Is there a listing available of what should be in each library?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Are publications kept up-to-date?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Who files publication changes? OSS I and clerical staff.			
COMMENTS			

Summary Statement

1. **CLERICAL TASKS** – Area's clerical staff was well trained, organized and completely aware of all job duties required. OSSI is very competent and effective and provides training as deemed necessary. OSSI has developed a spreadsheet for suspense items to enable the office to meet all required deadlines in a timely manner.
2. **FILING SYSTEM** – Area maintains all files according to policy. Library and Permanent files were found to be neat and well organized.

ACTION ITEM: Staff indicated that there is no systematic process for file purging; they wait until a cabinet is full. An annual or semi-annual process should be implemented and added to the suspense listing.

3. **SECURITY OF CRIMINAL RECORDS** – Area has a designated employee that releases criminal offender record information; two employees have back-up responsibilities including the front desk officer; per policy, Area maintains a database that logs criminal history checks, items sent to D.A., etc. Public Records Act information is posted; however, staff did not convey complete knowledge of all PRA parameters.

ACTION ITEM: Develop a PRA resource site (binder, etc.) to be maintained at front desk and accessible to all affected employees.

4. **FISCAL PROCEDURES** – Command maintains two CAL-cards in compliance with policy. Petty Cash was examined for accuracy and counted to verify ledger balance. Two receipts were outstanding. STD. 439 was completed per policy. X-number log was reviewed but contained few entries. OSSI is to be commended for referring to manual for policy and procedures; however, manual chapter was found to be outdated. A review of counter receipt records was completed on 10 records from 2/06 and 3/06 and all found to be compliant with policy. Logs indicate the commander conducts monthly audits. The last audit was conducted on 2/09/07.

ACTION ITEM: Manual chapters used for reference for Petty Cash, etc. should be updated with the latest revision. We recommend the new Administrative Sergeant review and become familiar with current X-number policy.

5. **REQUISITIONS** – There were no inconsistencies with policy found. Area has established a log that ensures stock is maintained and reduces the amount of emergency requisition requests.
6. **OTHER EQUIPMENT AND SUPPLIES** – Command PAS and camera equipment is well monitored. Cameras are assigned to each sergeant. In addition, several beats have mandates for camera/PAS deployment. This is monitored at

shift briefing as well as during 10-day PAS calibration process. A sergeant oversees camera/PAS inventory.

7. OFFICE EQUIPMENT – All equipment maintained per policy by OSSI and clerical staff.

ACTION ITEM: Computer/network files - there is no process for formal review of the LAN content. Area should develop a periodic review of files and a purging schedule.

8. ATTITUDE OF NON UNIFORMED EMPLOYEES - Very pleasant staff with a “teamwork” attitude.
9. PUBLIC CONTACTS – Front Desk Officer and Senior Volunteer both well versed on customer service and departmental policies.
10. SCHOOL BUS DRIVER EXAMINATIONS – Not evaluated.
11. COURT INFORMATION PROCEDURES - Area maintains a “check and balance” system between the sergeants and OSSI to ensure appearance of officers in court, minimize cancellations and complete CHP 90s as appropriate.


AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA Stockton - 265	DIVISION VALLEY	NUMBER
EVALUATED BY A. Lawton, OSS I		DATE 04/11/2008

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE 04/15/2008
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW  DATE 4/14/08
1. CLERICAL TASKS		EVALUATED X
		ACTION REQUIRED
		CORRECTED

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☒ Yes ☐ No

(3) Does the supervisor set a good example? ☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☐ Yes ☒ No

(5) Does the OSS participate in Area staff meetings? ☒ Yes ☐ No

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2. FILING SYSTEM	EVALUATED X	ACTION REQUIRED	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? 4 years (except MAIT, Felony Hit and Run)			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged?		By month and purged according to	
departmental retention periods.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located?		In Area admin and training files.	
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often?		Whenever updates are needed such as when Personnel paper work updates occur and at annual review	
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED X	ACTION REQUIRED	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED X	ACTION REQUIRED	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?	Kept in locked file cabinet belonging to the Area School Bus Officer.	
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? The Area Commander or

Executive Lieutenant sign and review the weekly transmittal before it gets sent to APU on Friday(s).

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
X

ACTION REQUIRED

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? The Area OSS I, OT and the clerical staff.

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
X

ACTION REQUIRED

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? All Area digital cameras are assigned to the Area Sergeants who

keep track of all cameras and equipment. The Sgts notify the OSS I if there is a need for maintenance or supplies.

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

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(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No**7. OFFICE EQUIPMENT**

EVALUATED

X

ACTION REQUIRED

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☒ Yes ☐ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All Area personnel except for the Area janitor.

(2) How is training provided, and by whom? By the Area Lan Coordinator

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☐ Yes ☒ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☒ Yes ☐ No

(7) What system is used to ensure proper routing of MIS information? The are reviewed by Area Management, OSS I and then routed

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All Area personnel except for the Area janitor.

(2) How is training provided, and by whom? By the Area Lan Coordinator and Area Supervisors.

(a) How many employees are trained in its use? All Area personnel except the Area janitor.

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☒ Yes ☐ No

(a) If so, is the PC password protected?

☒ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? For official CHP business only.

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

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(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? Area routinely checks to ensure that all out of date documents and files are purged as soon as the retention period is up.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED

X

ACTION REQUIRED

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED

X

ACTION REQUIRED

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? It is a Special Duty position.

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? Through the specific school district that they are interested in working for.

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? The tests are shredded by the School Bus Officer.

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED

X

ACTION REQUIRED

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

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(1) What controls are in place to ensure officers appear in court? The Area Court officer brings the subpoenas from the courts.

The subpoenas are then logged by the Area Subpoena clerk who gives them to the Area Supervisors to serve the employee involved ASAP. The Supervisors (Sgts) also mark the master schedule in red.

(a) How are appearances minimized following cancellations? Officers are called at home and also given a written notification of cancellation (CHP 219) in their mailbox at the office.

(b) How are "short notice" cancellations minimized? Officers are notified via the phone ASAP- additionally a written notification (CHP 219) is placed in their mailbox. Also, Shift Supervisors are notified if needed.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? The Area Subpoena Clerk w/ Area Sergeants to ensure that CHP 90's are done in a timely manner.

(a) Are court officers performing duties that could be handled by clerical personnel? ☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
X

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? The Stockton Area has individuals who have a library and may chose to loan them out on a case by case basis. But, the Area utilizes the departmental Library in publications on the CHP Intranet. It is the most current and up to date version available.

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient by individuals and Area wide via publications online.

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? The Area OT and the OSS I and clerical.